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† ADMITTED ONLY IN CALIFORNIA

TENT APPLICATION  
Docket No.: 13676.152

PATENTS

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Roger W. Phillips, et al.

Serial No.: 09/489,250

Filed: January 21, 2000

For: OPTICALLY VARIABLE SECURITY DEVICES

Examiner: Darren Schuberg

Art Unit  
2872

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### TRANSMITTAL FOR SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is a Supplemental Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

- ☒ Form PTO-1449 list of one (1) reference submitted for consideration.
- ☒ Legible copy of the listed reference or its relevant portions.
- ☒ All English translations of each nonenglish reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

The following are included within the Supplemental Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

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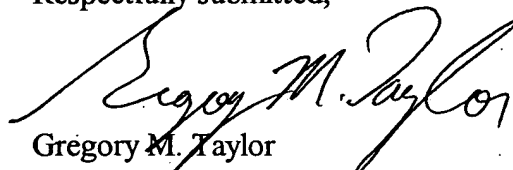
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TC 2800 MAIL ROOM
- Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.
  - Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.
  - Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

- ☒ Promptness Certification.
- Check No. \_\_\_\_\_ in the amount of \$240.00 constituting submission fee under 37 C.F.R. 1.17(p);
- Petition for Consideration and Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_.
- In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Promptness Certification meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 6<sup>th</sup> day of February, 2002.

Respectfully submitted,

  
Gregory M. Taylor  
Attorney for Applicants  
Registration No. 34,263



022913

PATENT TRADEMARK OFFICE

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#15  
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PATENT APPLICATION  
Docket No: 13676.152

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of	)	
	)	
Roger W. Phillips, et al.	)	
	)	
Serial No.:	)	
09/489,250	)	
	)	Art Unit
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January 21, 2000	)	
	)	
For:	)	
OPTICALLY VARIABLE SECURITY DEVICES	)	
	)	
Examiner:	)	
Darren Schuberg	)	

SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

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Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each nonenglish reference, if any, are also enclosed.

Statement of Relevance of References Listed  
Unaccompanied by English Translation  
Under 37 C.F.R. § 1.98(a)(3)

Since all listed references are either in the English language or are accompanied by a translation into English, no concise explanation of relevance is required under 37 C.F.R. § 1.98(a)(3).

Promptness Certification  
Under 37 C.F.R. § 1.97(c)

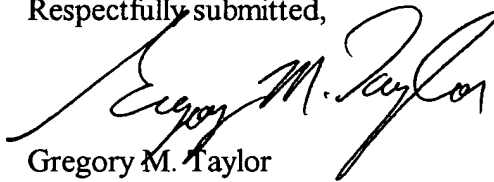
In accordance with 37 C.F.R. § 1.97(c), a Promptness Certification is enclosed to secure consideration of the references submitted with this Supplemental Information Disclosure Statement.

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Please credit any over payment or charge any additional fees to Deposit Account No. 23-3178  
of the undersigned.

Dated this 6<sup>th</sup> day of February, 2002.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Gregory M. Taylor". The signature is fluid and cursive, with the first name "Gregory" being more prominent and the last name "Taylor" following in a similar style.

Gregory M. Taylor  
Attorney for Applicant  
Registration No. 34,263

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